

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: 2010-03-19 19:07:03

2. Agency: 006

3. Bureau: 51

4. Name of this Investment: USPTO Patent File Wrapper (PFW) Program

5. Unique Project (Investment) Identifier: 006-51-01-03-01-8018-00

6. What kind of investment will this be in FY 2011?: Mixed Life Cycle

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. What was the first budget year this investment was submitted to OMB? *

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap; this description may include links to relevant information which should include relevant GAO reports, and links to relevant findings of independent audits.

Patent File Wrapper (PFW) is a scalable, enterprise, text-based, integrated system intended to support the overwhelming increases in filings, urgent needs for public access, and large changes in the examined technologies. PFW includes: Workflow replacing IFW messaging; Intelligent Text; Content Management. PFW provides the following business benefits: 1. Minimization of indexing tasks, avoidance of double data entry, ability to assure completion of work tasks, and avoidance of manual correspondence tasks. 2. The existing Image File Wrapper (IFW) system causes productivity loss due to misrouted, lost, duplicative, misunderstood messages, and lack of escalation and prioritization of critical tasks. PFW workflow functionality will eliminate these problems. 3. IFW is not flexible enough to meet remote access user needs (Hotelers). Hotelers require the ability to process, submit, and review Office Actions within an electronic format to avoid printing paper to submit for review and signatory approval. Since IFW is not integrated with OACS and PALM, an interim solution was created (electronic Red Folder). PFW will replace all manual activities with a fully electronic process. 4. IFW does not support receipt of text data, requiring extensive data processing. The as-filed patent application must be converted from image form into a composed text document. PFW will store text documents and allow upfront text capture, with an associated reduction in processing time and costs. Rebaseline justification: PFW met all milestones scheduled for version 1, culminating with the deployment of the Transfer Inquiry (TI) subsystem. All future phases of PFW were placed in a six-month timeout beginning in December 2008 due to technical, performance and contractual concerns. Within two months financial constraints terminated the evaluation period and PFW entered O&M mode, with no planned DME efforts. For 2011, PFW received a partial restoration of funding to meet the administration's new vision for Patents operations. While the overall objectives have not changed, PFW will undergo a significant shift in focus and priorities that require a thorough reassessment of the program, such as re-evaluating ways to (1) reduce pendency, (2) provide better search tools, (3) enhance the re-examination process, (4) support for a nationwide workforce, etc. This reassessment is on going, so detailed milestones are not yet available.

- a. Provide here the date of any approved rebaselining within the past year, the date for the most recent (or planned) alternatives analysis for this investment, and whether this investment has a risk management plan and risk register.**

9. Did the Agency's Executive/Investment Committee approve this request? *

a. If "yes," what was the date of this approval? *

10. Contact information of Program/Project Manager?

- Name: *
- Phone Number: *
- Email: *

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)? *

- Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

Financial management system name(s)	System acronym	Unique Project Identifier (UPI) number
*	*	*

a. If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one): *

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table 1: SUMMARY OF FUNDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY1 and earlier	PY 2009	CY 2010	BY 2011	BY+1 2012	BY+2 2013	BY+3 2014	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition:	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
SUBTOTAL:	*	*	*	*	*	*	*	*	*
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	*	*	*	*	*	*	*	*	*
Number of FTE represented by Costs:	*	*	*	*	*	*	*	*	*
TOTAL(including FTE costs)	*	*	*	*	*	*	*	*	*

2. If the summary of funding has changed from the FY 2010 President's Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table 1: Contracts/Task Orders Table

Contract or Task Order Number	Type of Contract/Task Order (In accordance with FAR Part 16)	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)
DOC50PAPT0501005	CPFF/Award Term Incentives	Y	2004-12-17	2004-12-17	2012-12-31	\$281.0	*	*	*	*	*
DOC50PAPT0501004	CPFF/Award Term Incentives	Y	2004-12-17	2004-12-17	2012-12-31	\$251.2	*	*	*	*	*

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? *

a.If "yes," what is the date? *

Section D: Performance Information (All Capital Assets)

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2006	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% completion of designing prototyping system	0	100%	100%
2006	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% replacement of the existing AISs.	0	0	0
2006	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of Savings	0	0	0
2007	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of Savings	0	0	0
2007	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of building prototype & system testing environment	0	100%	100%
2007	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of systems retired	0	0	0
2008	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of rework due to lost messages	0.2	17.6%	20.0%
2008	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Reduce the % of applications that exceed 4 months to publication from the Issue Fee Payment date.	0.076	6.9%	5.2%
2007	2.2 Protect intellectual property and improve the	*	*	% replacement of the existing AISs.	0	0	0

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	patent and trademark system.						
2008	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of applications that take longer than 4 months for response to be mailed.	0.05	4.3%	7.0%
2008	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% replacement of the existing AISs.	0	0.0%	0.0%
2006	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of systems retired	0	0	0
2010	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% replacement of the existing AISs.	0.1	30.00%	TBD
2011	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% replacement of the existing AISs.	0.3	50.00%	TBD
2009	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% replacement of the existing AISs.	0	10.0%	0%
2012	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% replacement of the existing AISs.	0.5	70.00%	TBD
2013	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% replacement of the existing AISs.	0.7	80.00%	TBD
2014	2.2 Protect intellectual property and improve the	*	*	% replacement of the existing AISs.	0.8	85%	TBD

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	patent and trademark system.						
2015	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% replacement of the existing AISs.	0.85	90%	TBD
2012	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Reduce the % of applications that exceed 4 months to publication from the Issue Fee Payment date.	Will use actuals from FY11	Will increase by 0.66% from FY11 Actuals	TBD
2012	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of rework due to lost messages	Will use actuals from FY11	Will increase by 2.43% from FY11 Actuals	TBD
2013	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Reduce the % of applications that exceed 4 months to publication from the Issue Fee Payment date.	Will use actuals from FY12	Will increase by 0.66% from FY12 Actuals	TBD
2013	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of applications that take longer than 4 months for response to be mailed.	Will use actuals from FY12	Will increase by 0.71% from FY12 Actuals	TBD
2013	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of rework due to lost messages	Will use actuals from FY12	Will increase by 2.43% from FY12 Actuals	TBD
2014	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of applications that take longer than 4 months for response to be mailed.	Will use actuals from FY13	0.00%	TBD
2014	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Reduce the % of applications that exceed 4 months to publication from the Issue Fee Payment date.	Will use actuals from FY13	3.00%	TBD
2015	2.2 Protect intellectual property and improve the	*	*	% of applications that take longer than 4 months for	Will use actuals from FY14	0.0%	TBD

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	patent and trademark system.			response to be mailed.			
2014	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of rework due to lost messages	Will use actuals from FY13	3.00%	TBD
2015	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Reduce the % of applications that exceed 4 months to publication from the Issue Fee Payment date.	Will use actuals from FY14	3.0%	TBD
2015	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of rework due to lost messages	Will use actuals from FY14	3.0%	TBD
2009	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of applications that take longer than 4 months for response to be mailed.	7.0%	Will increase by 0.71% from FY08 Actuals	24.90%
2009	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Reduce the % of applications that exceed 4 months to publication from the Issue Fee Payment date.	5.2%	Will increase by 0.66% from FY08 Actuals	1.90%
2011	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of applications that take longer than 4 months for response to be mailed.	Will use actuals from FY10	Will increase by 0.71% from FY10 Actuals	TBD
2010	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of rework due to lost messages	Will use actuals from FY10	Will increase by 2.43% from FY09 Actuals	TBD
2010	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Reduce the % of applications that exceed 4 months to publication from the Issue Fee Payment date.	Will use actuals from FY10	Will increase by 0.66% from FY09 Actuals	TBD
2010	2.2 Protect intellectual property and improve the	*	*	% of applications that take longer than 4 months for	Will use actuals from FY10	Will increase by 0.71% from FY09 Actuals	TBD

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	patent and trademark system.			response to be mailed.			
2009	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of rework due to lost messages	20.0%	Will increase by 2.43% from FY08 Actuals	Unchanged
2011	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Reduce the % of applications that exceed 4 months to publication from the Issue Fee Payment date.	Will use actuals from FY10	Will increase by 0.66% from FY10 Actuals	TBD
2012	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of applications that take longer than 4 months for response to be mailed.	Will use actuals from FY11	Will increase by 0.71% from FY11 Actuals	TBD
2011	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% of rework due to lost messages	Will use actuals from FY10	Will increase by 2.43% from FY10 Actuals	TBD

Part II: Planning, Acquisition And Performance Information

Section A: Cost and Schedule Performance (All Capital Assets)

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Operate and Maintain PFW Transfer Inquiry	\$1.1	\$0.4	2009-10-01	2009-10-01	2010-09-30		67.00%	67.00%
View Application Text, PFW/IFW Synch, Migrate/Load Evidence copies, PFW Admin Part II, Final PFW GUI, Basic Workflow, Automated Work Items, begin IFW data and Message Migration, Doc Base (Repository), Begin Direct load of official content	\$1.4	\$1.4	2007-06-25	2007-06-25	2009-06-06	2008-04-05	100.00%	100.00%
Expand Core Workflow with Interface	*	*	2010-10-01		2012-12-31		0.00%	0.00%
Operate and Maintain PFW Transfer Inquiry	*	*	2010-10-01		2011-09-30		0.00%	0.00%
Completion of Technology Study	\$0.7	\$0.7	2006-08-30	2006-08-30	2006-11-30	2006-11-30	100.00%	100.00%
Phase 3 Planning	\$1.5	\$1.3	2007-06-25	2007-06-25	2009-04-06	2008-04-05	100.00%	100.00%
Operate and Maintain PFW Transfer Inquiry	*	*	2013-10-01		2014-09-30		0.00%	0.00%
Operate and Maintain PFW Transfer Inquiry	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Operate and Maintain PFW Transfer Inquiry	*	*	2012-10-01		2013-09-30		0.00%	0.00%
Implement Office Action Content Management replacement	*	*	2012-10-01		2015-09-30		0.00%	0.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
with Interface								
Deployment of PFW Client, replacing eDAN and MADRAS Clients, basic workflow migrate IFW Messaging functionality to PFW, New Case Assignment and Docketing with Master Docket. Provide RBAC GUI-User Role Mapping, Assign & Un-assign.	\$10.6	\$10.8	2007-06-25	2007-06-25	2009-01-30	2008-11-30	100.00%	100.00%
Deployment of Version One of the Patent-Examiner Interface with Workflow Capability (Specifically Transfer Inquiry to 700 users), deployment of initial Infrastructure foundation, and Content Repository	\$26.6	\$18.4	2007-06-25	2007-06-25	2008-07-31	2008-06-11	100.00%	100.00%
Planning and Architecture for Foundation, GUI, Content Management, and Workflow and Hardware Acquisition	\$4.7	\$3.9	2007-06-25	2007-06-25	2007-08-15	2007-09-29	100.00%	100.00%
Enhance Office Action Content Management replacement with Interface	*	*	2015-06-01		2015-09-30		0.00%	0.00%
Deployment of Version One of the Patent-Examiner Interface with Workflow Capability (Specifically Transfer Inquiry to all 6,700 users), deployment of	\$0.2	\$0.2	2007-06-25	2007-06-25	2008-10-30	2008-08-30	100.00%	100.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
initial Infrastructure foundation, and Content Repository								
Plan & implement Patent End-to-End Process (This row is being used as a placeholder. Functionality, dates, and costs are estimates that were completed prior to the documentation of requirements and design. This row will be updated on 12/31/2010)	*	*	2010-10-01		2015-09-30		0.00%	0.00%
Operations and Maintenance - FY 2009	\$2.9	\$1.5	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
Operate and Maintain PFW Transfer Inquiry	*	*	2014-10-01		2015-09-30		0.00%	0.00%
Completion of Business and Technology Studies, and Infrastructure Hardware/Software Purchases. Application Architecture review, Program Management support, technical training, and Research and Development	\$9.3	\$9.3	2006-08-30	2006-08-30	2007-03-31	2007-03-31	100.00%	100.00%

* - Indicates data is redacted.